

# DECLARATION AND POWER OF ATTORNEY FOR ORIGINAL U.S. PATENT APPLICATION

Attorney's Docket No.NFC1P039CIP

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe that I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled: **METHOD AND APPARATUS FOR AN OPTICAL FILTER** the specification of which,

(check one)      1.  is attached hereto.

2.  was filed on \_\_\_\_\_ as  
U.S. Application No. \_\_\_\_\_  
and was amended on \_\_\_\_\_.

3.  was filed on \_\_\_\_\_ as  
International PCT Application No. \_\_\_\_\_  
and was amended on \_\_\_\_\_.

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the examination of this application in accordance with Title 37, CFR § 1.56.

#### Prior Foreign Application(s)

I hereby claim foreign priority benefits under Title 35, United States code, § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have identified below, by checking the box, any foreign application for patent or inventor's certificate, or PCT International application having a filing date before that of the application on which priority is claimed:

Priority Benefits Claimed?
Yes <input type="checkbox"/> No <input type="checkbox"/>

(Application No.)	(Country)	(Filing Date)
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Yes  No

(Application No.)	(Country)	(Filing Date)
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#### Provisional Application(s)

I hereby claim the benefit under 35 U.S.C. §119(e) of any United States provisional application(s) listed below:

60/303,705	July 5, 2001
(Application No.)	(Filing Date)

(Application No.)	(Filing Date)
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(Application No.)	(Filing Date)
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**Prior U.S. Application(s)**

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s), or § 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose information which is material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>09/879,026</u>	<u>June 11, 2001</u>	(Status - patented, pending, abandoned)
(Application No.)	(Filing Date)	

<u> </u>	<u> </u>	(Status - patented, pending, abandoned)
(Application No.)	(Filing Date)	

**Power of Attorney**

And I hereby appoint Charles C. Cary, Reg. No. 36,764; Robert H. Kelly, Reg. No. 33,922, all of the law firm of **CARY & KELLY, LLP**, 1875 Charleston Road, Mountain View, California, 94043, and all practitioners who are associated with this firm as my principal attorneys, and Joseph T. Fitzgerald, Reg. No. 33,881 of NEW FOCUS, INC. to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith.

**Direct Correspondence To:**

**CARY & KELLY, LLP**  
1875 Charleston Road  
Mountain View CA, 94043

**Direct Telephone Calls To:** Charles C. Cary at telephone number (650) 533.4844

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon.

I hereby grant the above appointed attorneys the right to insert the U.S. Patent Application number and filing date where space is provided above at any time subsequent to the date of the inventor's signature below.

Typewritten Full Name of

Sole or First Inventor: Ping XIE Citizenship: US

Inventor's signature: Ting Xie

Date of Signature: 8/31/01

Residence: (City) San Jose (State/Country) CA/USA

Post Office Address: 1272 Chessington Drive, San Jose CA 95131

## Full Name of Second Joint:

Inventor (if any): Simon Yuanxiang WU Citizenship: People's Republic of ChinaInventor's signature: Yuanxiang Wu Date of Signature: 08/31/2001Residence: (City) San Jose (State/Country) CA/USAPost Office Address: 2615 Heritage Park Circle, San Jose, CA 95132

## Full Name of Third Joint:

Inventor: Yalan MAO Citizenship: USInventor's signature: Yalan Mao Date of Signature: 08/31/2001Residence: (City) Cupertino (State/Country) CA/USAPost Office Address: 11620 Wildflower Court, Cupertino, CA 95014

## Full Name of Fourth Joint:

Inventor: Wei WANG Citizenship: People's Republic of ChinaInventor's signature: Wei Wang Date of Signature: 08/31/01Residence: (City) San Jose (State/Country) CA/USAPost Office Address: 1291 Starglo Place, San Jose, CA 95131

## Full Name of Fifth Joint:

Inventor: R. Brad BETTMAN Citizenship: USInventor's signature: R. Brad Bettman Date of Signature: 8/31/01Residence: (City) Mountain View (State/Country) CA/USAPost Office Address: 415 Bush Street, Mountain View, CA 94041

## Full Name of Sixth Joint:

Inventor: Nadim MELIUF Citizenship: USInventor's signature: Nadim Meliuf Date of Signature: 8/31/2001Residence: (City) Los Altos (State/Country) CA/USAPost Office Address: 510 Casita Way, Los Altos, CA 94022

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

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In re application of

Ping Xie et al.

Serial No.:	09/944,037	Art Unit 2874
Filing Date:	August 31, 2001	
Confirmation No.:	6184	
For:	METHOD AND APPARATUS FOR AN OPTICAL FILTER	

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REVOCATION AND SUBSTITUTE  
POWER OF ATTORNEY AND  
STATEMENT UNDER 37 CFR 3.73(b)

Honorable Commissioner of Patents  
and Trademarks  
Washington, DC 20231

Sir:

I, Frank H. Levinson, state that I am Chairman of the Board of Finisar Corporation and that I am authorized to execute this Revocation and Substitute Power of Attorney on behalf of Finisar Corporation.

I further state that Finisar Corporation is the assignee of the entire interest of the above-identified patent or patent application as shown by the assignment(s) recorded in the U.S. Patent and Trademark Office at the Reel and Frame identified in Exhibit A; The assignee, Finisar Corporation, hereby revokes all previous powers of attorney in the above-identified application, which is included in the schedule of U.S. Patents and Patent Applications of Exhibit B, and now hereby appoints all attorneys under customer number:



**022913**

PATENT TRADEMARK OFFICE

of WORKMAN, NYDEGGER & SEELEY, 1000 Eagle Gate Tower, 60 East South Temple, Salt Lake City, Utah 84111, as attorneys with full power of substitution and revocation, to prosecute said application, to make alterations and amendments therein, to receive the Letters Patent, and to transact all business in the Patent and Trademark Office connected therewith.

All correspondence and telephonic communication should be directed to:

ERIC L. MASCHOFF  
WORKMAN, NYDEGGER & SEELEY  
1000 Eagle Gate Tower  
60 East South Temple  
Salt Lake City, Utah 84111

This Revocation and Substitute Power of Attorney and Statement Under 37 CFR 3.73(b) is effective for all of the U.S. Patents and Patent Applications of Exhibit B, and shall be filed at the U.S. Patent & Trademark Office in all of said U.S. Patents and Patent Applications.

Signed this 28 day of MAY, 2003.

  
Frank H. Levinson  
Finisar Corporation  
1308 Moffet Park Drive  
Sunnyvale, California 94089



RECEIVED

SEP 16 2002

FISH & RICHARDSON, P.C.  
NEW YORK CITY OFFICE

13837 - 026 001

REF  
PAC

SEPTEMBER 07, 2002

PTAS

Under Secretary of Commerce For Intellectual Property and  
Director of the United States Patent and Trademark Office  
Washington, DC 20231  
[www.uspto.gov](http://www.uspto.gov)

FISH & RICHARDSON P.C.

PAUL A. LEVY

45 ROCKEFELLER PLAZA, SUITE 2800  
NEW YORK, NY 10111



\*102152196A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF  
THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS  
AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER  
REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE  
INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA  
PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD  
FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY  
CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723.  
PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE,  
ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY,  
SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/25/2002

REEL/FRAME: 013056/0335  
NUMBER OF PAGES: 9

BRIEF: ASSIGNMENT OF ASSIGNEE'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNEE:  
NEW FOCUS, INC.

DOC DATE: 05/10/2002

ASSIGNEE:  
FINISAR CORPORATION  
1308 MOFFETT PARK DRIVE  
SUNNYVALE, CALIFORNIA 94089-1133

SERIAL NUMBER: 09944593  
PATENT NUMBER:

FILING DATE: 08/31/2001  
ISSUE DATE:

SERIAL NUMBER: 09658854  
PATENT NUMBER:

FILING DATE: 09/08/2000  
ISSUE DATE:

SERIAL NUMBER: 09617790  
PATENT NUMBER:

FILING DATE: 07/18/2000  
ISSUE DATE:

SERIAL NUMBER: 09879026  
PATENT NUMBER:

FILING DATE: 06/11/2001  
ISSUE DATE:

Reviewed By Practice Secretary  
Initials: \_\_\_\_\_

Reviewed By Billing Secretary  
Initials: \_\_\_\_\_

013056/0335 PAGE 2

SERIAL NUMBER: 09944037	FILING DATE: 08/31/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09458869	FILING DATE: 12/10/1999
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09659903	FILING DATE: 09/12/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09792920	FILING DATE: 02/26/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09687574	FILING DATE: 10/13/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09713634	FILING DATE: 11/14/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09507119	FILING DATE: 02/17/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09612068	FILING DATE: 07/07/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09471583	FILING DATE: 12/22/1999
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09900092	FILING DATE: 07/05/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09617736	FILING DATE: 07/17/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09660258	FILING DATE: 09/12/2000
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09972517	FILING DATE: 10/05/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 10042935	FILING DATE: 01/09/2002
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 10075333	FILING DATE: 02/14/2002
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09941474	FILING DATE: 08/28/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09900713	FILING DATE: 07/05/2001
PATENT NUMBER:	ISSUE DATE:
SERIAL NUMBER: 09702280	FILING DATE: 10/30/2000
PATENT NUMBER:	ISSUE DATE:

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SERIAL NUMBER: 09479455 PATENT NUMBER:	FILING DATE: 01/06/2000 ISSUE DATE:
SERIAL NUMBER: 09135083 PATENT NUMBER: 6049426	FILING DATE: 08/17/1998 ISSUE DATE: 04/11/2000
SERIAL NUMBER: 09383591 PATENT NUMBER: 6052228	FILING DATE: 08/26/1999 ISSUE DATE: 04/18/2000
SERIAL NUMBER: 09432382 PATENT NUMBER: 6285499	FILING DATE: 10/29/1999 ISSUE DATE: 09/04/2001
SERIAL NUMBER: 09365680 PATENT NUMBER: 6282025	FILING DATE: 08/02/1999 ISSUE DATE: 08/28/2001
SERIAL NUMBER: 09702538 PATENT NUMBER: 6331913	FILING DATE: 10/30/2000 ISSUE DATE: 12/18/2001
SERIAL NUMBER: 09702279 PATENT NUMBER: 6373631	FILING DATE: 10/30/2000 ISSUE DATE: 04/16/2002
SERIAL NUMBER: 09502973 PATENT NUMBER: 6363190	FILING DATE: 02/11/2000 ISSUE DATE: 03/26/2002
SERIAL NUMBER: 09281743 PATENT NUMBER: 6212008	FILING DATE: 03/30/1999 ISSUE DATE: 04/03/2001
SERIAL NUMBER: 09473774 PATENT NUMBER: 6373604	FILING DATE: 12/29/1999 ISSUE DATE: 04/16/2002
SERIAL NUMBER: 09186751 PATENT NUMBER: 6175448	FILING DATE: 11/05/1998 ISSUE DATE: 01/16/2001

ANTIONE ROYALL, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

## PATENT ASSIGNMENT AGREEMENT

WHEREAS, the undersigned, New Focus, Inc., a Delaware corporation, having a place of business at 5215 Hellyer Avenue, San Jose, California 95138 (the "Assignor") is the owner of the entire rights, title and interest in the patent properties listed on Schedule A (the "Assigned Patent Properties"); and

WHEREAS, Finisar Corporation, a Delaware corporation, having a place of business at 1308 Moffett Park Drive, Sunnyvale, California 94089 (the "Assignee"), is desirous of acquiring the Assigned Patent Properties and any rights in the Assigned Patent Properties for the good and valuable consideration set forth in that Intellectual Property Agreement by and between Assignor and Assignee dated May 10, 2002;

NOW, THEREFORE, in consideration of good and valuable consideration acknowledged by Assignor to have been received in full from Assignee:

1. Effective upon execution, Assignor does hereby sell, assign, transfer and convey unto Assignee, all of its rights, title and interest together with the benefits and privileges in and to all inventions and discoveries set forth in the Assigned Patent Properties.
2. Assignor hereby covenants and agrees to cooperate with Assignee to enable Assignee to obtain, sustain, enforce and enjoy to the fullest extent all rights, title and interest herein conveyed in any country. Such cooperation by Assignor shall include production of pertinent facts and documents, giving of testimony, execution of petitions, oaths, specifications, declarations or other papers, and other assistance all to the extent deemed reasonably necessary or desirable by Assignee, (a) for perfecting in Assignee the rights, title and interest herein conveyed; (b) for filing and prosecuting substitute, divisional, continuing or additional applications covering the Assigned Patent Properties; (c) for filing and prosecuting applications for re-issuance of any of the Assigned Patent Properties; (d) for interference or other priority proceedings involving the Assigned Patent Properties; and (e) for legal proceedings involving the Assigned Patent Properties for infringement actions and court actions; provided, however, that the expense incurred by Assignor in providing such cooperation shall be paid for by Assignee. In the event that Assignee is unable for any reason to secure Assignor's signature to any document required to apply for or execute any patent applications or patents (including improvements, renewals, extensions, continuations, divisions or continuations in part thereof), Assignor hereby irrevocably designates and appoints Assignee and its duly authorized officers and agents as Assignor's agent and attorney-in-fact to act for and in their behalf, and instead of Assignor, to execute and file any such applications and to do all other lawfully permitted acts to further the perfection, prosecution and issuance of patents or other rights therein with the same legal force and effect as if executed by Assignor.
3. Assignor warrants that they have not knowingly conveyed and shall not convey to others any rights in said inventions, discoveries, applications, patents or Assigned Patent Properties; and warrants that they have good right to assign the same to Assignee without encumbrance.
4. The terms and covenants of this Patent Assignment Agreement shall inure to the benefit of Assignee, its successors and assigns, and shall be binding upon Assignor and its successors and assigns.

IN WITNESS WHEREOF, Assignor has executed and delivered this instrument to Assignee effective the  
10th day of May, 2002.

ASSIGNOR: New Focus, Inc.

Today's  
Date: 10 May 2002

By: Off. Mif  
Title: Vice President, Observes

STATE OF CALIFORNIA }  
COUNTY OF Santa Clara } ss.  
Santa Clara

On May 10, 2002 before me, Carol Burke, Notary Public, personally  
appeared Nordin Mafut, personally known or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed to the instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

Witness my hand and official seal.

Carol Burke  
Notary Public



ASSIGNEE: Finisar Corporation

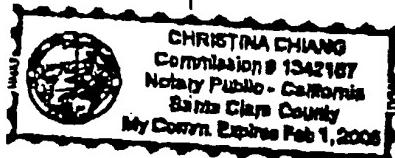
By: Jerry Rawls  
Title: President & CEO

STATE OF CALIFORNIA      }  
COUNTY OF Santa Clara    } ss.

On June 5, 2002 before me, Christina Chiang, Notary Public, personally  
appeared Jerry Rawls, personally known or proved to me on the basis of  
satisfactory evidence to be the person whose name is subscribed to the instrument and  
acknowledged to me that he/she executed the same in his/her authorized capacity and that by his/her  
signature on the instrument the person, or the entity upon behalf of which the person acted, executed the  
instrument.

Witness my hand and official seal.

Notary Public



Schedule A  
Assigned Patent Properties

Passives IP US Patents	Patent #	Title	Inventors	Patent Issue Date	Responsible Firm and Attorney	Status
6,049,426 (10629-725)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/11/00	WSGR, David Abraham	Maintenance Fee due 10/11/2003	
6,052,228 (10629-789)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/18/00	WSGR, David Abraham	Maintenance Fee due 10/18/2003	
6,175,448 (10629-729)	Optical Circulators Using Beam Angle Turners	Ping Xie, Yonglin Huang	01/16/01	WSGR, David Abraham	Maintenance Fee due 07/16/2004	
6,212,008 (10629-765)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	04/03/01	WSGR, David Abraham	Maintenance Fee due 10/03/2004	
6,282,025 (NFCs-00- 001)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	08/28/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 02/28/05	
6,285,499 (10629-792)	Compact Polarization Insensitive Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/04/01	WSGR, David Abraham	Maintenance Fee due 03/04/2005	
6,331,913 (NFCs-00- 017)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	12/16/01	Sierra Patent Group, Tim Brisson	Maintenance Fee due 06/16/2005	
6,363,190 (NFCs-99- 007)	Polarization Insensitive Fused Fiber Coupler Method and Apparatus	Peter Chen	03/26/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 09/26/2006	
6,373,831 (NFCs-00- 018)	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	04/16/02	Sierra Patent Group, Tim Brisson	Maintenance Fee due 10/16/2005	

US Patent Application #	Title	Inventors	Date Filed	Application #	Responsible Firm and Attorney	
NF10032 (10629-789)	Compact Optical Isolator Arrays	Ping Xie, Yanglin Huang	07/01/99	09/346,639	WSGR, David Abraham	
NF10042 US (5717-01100)	Integrated Isolator Fused Coupler Method and Apparatus	Ping-Xie, Yanglin Huang, Peter Chen	12/10/99	09/458,868	Conley, Rose & Tayon, Noel Kivilln	
NFCS-99-004	Microbend Fused Fiber Coupler Method and Apparatus	Peter Chen	12/22/99	09/471,583	Sierra Patent Group, Tim Brisson	
NFC1P016X1	Passive Thermal Stabilization For An Optical MUX/DEMUX Thermal Compensated Compact Bragg Grating Filter	Ping Xie	01/06/00	09/478,455	Cary & Kelly, Charles Cary	
NFCS-99-005	Peter Chen	02/17/00	09/507,119	Sierra Patent Group, Tim Brisson	N/A	
NFCS-99-003	A Miniature Dense Wavelength Division Multiplexer Using Microbend Couplers	Peter Chen	07/07/00	09/812,068	Sierra Patent Group, Tim Brisson	Reply to Office Action due 05/18/02
NFCS-00-011	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yanglin Huang, Sal Tiscareno	07/17/00	09/817,736	Sierra Patent Group, Tim Brisson	N/A
NFC1P018	Method and Apparatus for Compensating an Optical Filter	Brad Bettman, Ping Xie, Peter Chen	07/18/00	09/817,790	Cary & Kelly, Charles Cary	Notice of Allowability mailed by USPTO 04/04/02; Notice of Allowance will follow soon.
NFC1P028	A Method And Apparatus For Parallel Optical Processing	Ping Xie, Sal Tiscareno	08/12/00	09/859,803	Cary & Kelly, Charles Cary	N/A
NFCS-00-012	Improved Polarization Beam Combiner/Splitter	Ping Xie, Tim Day	09/12/00	09/860,258	Sierra Patent Group, Tim Brisson	N/A
10829-794	Optical Circulators Using Beam Angle Turners	Ping Xie, Yanglin Huang	09/08/00	09/858,854	WSGR, David Abraham	Reply to Office Action due 05/13/2002

NFCS-00-016	Optical Polarization Beam Combiner/Splitter	Yonglin Huang, Ping Xie	10/30/00 09/702,280	Sierra Patent Group, Tim Brisson	Reply to Office Action due 07/07/2002
NFI0032 CNT (10629-795)	Compact Optical Isolator Arrays	Ping Xie, Yonglin Huang	10/13/00 09/687,574	WSGR, David Abraham	Reply to Office Action due 07/10/2002
NFCS-00-013	Precision Optical Filter With A Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/14/00 09/713,634	Sierra Patent Group, Tim Brisson	N/A
NFC1P028X1	A Method And Apparatus For Parallel Optical Processing For Dual Port Devices	Ping Xie, Sai Tiscareno	02/26/01 09/779,920	Cary & Kelly, Charles Cary	N/A
NFC1P039	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yafan Mao, Wei Wang, Brad Bettman, Nadim Mahuf	06/11/01 09/879,028	Cary & Kelly, Charles Cary	N/A
NFI0098U (NFCS-00-020, NFCSS-01-025)	Dual-Stage Optical Isolator Minimized Polarization Mode Dispersion And Simplified Fabrication Process	Yonglin Huang, Liren Du, Meng Ma, Shuyun Huang	07/05/01 09/800,092	Sierra Patent Group, Tim Brisson	N/A
NFI0085U (5717-01301)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shuqing (Mary) Ma, Meng (Maggie) Ma	07/05/01 09/800,091	Conley, Rose & Tayon, Noel Kivlin	N/A
NFCS-00-014	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	07/05/01 09/800,713	Sierra Patent Group, Tim Brisson	N/A
NFC1P039CI P	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yafan Mao, Wei Wang, Brad Bettman, Nadim Mahuf	08/31/01 09/844,037	Cary & Kelly, Charles Cary	N/A
NFCS-01-027	Method And Apparatus For Precision Tuning An Optical Filter Using A Ball-End Joint	Kevin Zhang, Ping Xie	08/28/01 09/841,474	Sierra Patent Group, Tim Brisson	Foreign Filing due 08/28/02
16629-802	Compact Polarization Insensitive Circulators with Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	08/31/01 09/944,593	WSGR, David Abraham	Received Notice of Publication 03/12/2002, Pub. No. US-2002-0024729-A1

NFI0130US (50823-2000-200)	Mismatched Mode Field Diameter Device	Ping Xie, Kevin Zhang	10/05/01 09/972,517	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0131U (50823-2000-100)	Integrated Pump Combining Module	Ping Xie	10/05/01 09/972,527	MOFO, Steve Durant	Foreign Filing due 10/05/02
NFI0085 (5717-01601)	Fiber Optical Devices With Extra High Power Handling Capability	Yonglin Huang, Kevin Zhang, Ping Xie	01/08/02 10/042,836	Conley, Rose & N/A Taylor, Noel Kwin	
NFI0069 (5717-01401)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02 10/075,333	Conley, Rose & N/A Taylor, Noel Kwin	

**Foreign Applications Filed**

Application Number	Inventors	Priority Date	Type	Attorney	Responsible Firm and Attorney
10629-785	Compact Polarization Insensitve Circulators With Simplified Structure and Low Polarization Mode Dispersion (also covers Circulators Using Beam Angle Turners)	Ping Xie, Yonglin Huang	08/17/98 999802271.0	European Application	WSGR, David Abraham
10629-800 P0108001EP MJH	Compact Polarization Insensitve Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	2000-565436	Japanese Application	WSGR, David Abraham
10629-799	Compact Polarization Insensitve Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	10/12/99 PCT/US99/23759	PCT Application	WSGR, David Abraham
10629-790	Compact Polarization Insensitve Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	05/11/01 99969250.2 (PCT/US99/23759)	European Application	D. Young & Co., Miles Haines
P0113866EP MJH ZRM	Compact Polarization Insensitve Circulators With Simplified Structure and Low Polarization Mode Dispersion	Ping Xie, Yonglin Huang	09/27/00 PCT/US00/41022	PCT Application	D. Young & Co., Miles
NFC1P016W O	Optical MUX/DEMUX	Ping Xie			N/A

			Haines	D. Young & Co., Miles Haines	Annuity due Sep. 2002
P011438EP MJH ZXW	Optical MUX/DEMUX	Ping Xie	05/08/01 00892467.1 PCT/US00/41022	European Application	
5717-01101 (NFCS-99-008PCT)	Integrated Isolator Fused Coupler Method And Apparatus	Ping Xie, Yonglin Huang, Peter Chen	12/05/00 PCT/US00/33051	PCT Application	Conley, Rose & Tayon, Noel Kvirlin National Phase filing due 06/10/02
NFI0051PCT (NFCS-00-011PCT)	Fiber Optical Pigtail Geometry For Improved Extinction Ratio of Polarization Maintaining Fibers	Ping Xie, Yonglin Huang, Sal Tiscareno	07/17/01 PCT/US01/22762	PCT Application	Sierra Patent Group, Tim Brisson File response to opinions if any by 08/17/02; Ch. II, National Phase Filing due 1 month, 12/17/02
NFI0058PCT (NFCS-99-013PCT)	Precision Optical Filter With Ball-End Joint	Ping Xie, Kevin Zhang, Robert Burn	11/09/01 PCT/US01/51189	PCT Application	Sierra Patent Group, Tim Brisson Correct Defects due 05/04/2002; Ch. II Demand due 06/14/02; File response to opinions if any by 12/14/02
NFCS-00-014PCT	Optical Isolator With Reduced Insertion Loss And Minimized Polarization Mode Dispersion	Yonglin Huang, Ping Xie, Xin Luo, Liren Du	10/05/01 PCT/US01/31680	PCT Application	Sierra Patent Group, Tim Brisson Ch. II Demand due 05/13/02; File response to opinions if any by 11/13/02

NF10095U (5717-01302) (NFCs-01-024)	Method And Apparatus For A Polarization Beam Splitter/Combiner With An Integrated Optical Isolator	Yonglin Huang, Shujing (Mary) Ma, Meng (Maggie) Ma	01/11/02 PCT/US02/008001	PCT Application	Conley, Rose & Tayon, Noel Klvin	Ch. II Demand due 08/10/02; If Ch. II Demand not filed then National Phase filing due 09/10/02
NFC1P039CI PWO	Method And Apparatus For An Optical Filter	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman, Nadim Maluf	02/08/02 PCT/US02/037117	PCT Application	Cary & Kelly, Charles Cary	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02
NFI0069PCT (5717-01402) (NFCs-01-025P)	Optical Polarization Beam Splitter/Combiner With Isolation In The Backward Optical Path	Yonglin Huang, Qi (Brian) Deng, Liren Du	02/14/02 PCT/US02/04215	PCT Application	Conley, Rose & Tayon, Noel Klvin	Ch. II Demand due 09/14/02; If Ch. II Demand not filed then National Phase filing due 10/14/02

#### Provisional Applications

NFC1P039P	Low Dispersion, Low Channel Cross-Talk Interleaver	Ping Xie, Simon Wu, Yalan Mao, Wei Wang, Brad Bettman	07/05/01 60/303,705	Provisional Application	Cary & Kelly Charles Cary
NFI0150P (50923-3000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shujing Ma, Qi Deng, Bing Zhang	03/15/02 Not yet assigned	Provisional Application	MOFO, Steve Durant

**Invention Disclosures**

NFI0148 (NFC1P039X 1)	Method And Apparatus For An Optical Multiplexer And Demultiplexer With An Optical Processing Loop	Ping Xie, Simon Wu, Haisheng Rong, Kevin Zhang, Yalan Mao, Wei Wang, Brad Bettman	Disclosure (application has been drafted)	Cary & Kelly, Charles Cary	May want to claim priority to Provisional 60/303,705 filed 07/05/01 or Utility 09/879,028 filed 06/11/01 and 09/844,037 filed 08/13/01
NFI0150 (50923-2000-500)	Integrated WDM Coupler For Duplex Communication	Yonglin Huang, Shuqing Ma, Qi Deng, Bing Zhang, Liren Du	Disclosure (application has been drafted)	MOFO, Steve Durant	Will want to claim priority to Provisional filed on 03/15/02
NFI0162	Hybrid Cell	Tengda Du, Xin Luo, Ping Xie, Evan Green	Disclosure		
NFI0163	PM Coupler	Jian He, Ping Xie	Disclosure		
NFI0164	PDL Loop	Jian He, Ping Xie, Chester Chien	Disclosure		
NFI0165	High Channel Isolation WDM	Zhicheng Li, Yingsong Wang	Disclosure		
NFI0166	Array PBC	Qi Deng, Uren Du, Shuqing (Many) Ma, Bing Zhang, Xiwen Wang, Yonglin Huang	Disclosure		
NFI0167	OADM and Array-OADM	Liren Du, Xiwen Wang, Bing Zhang, Qi (Brian) Deng, Shuqing (Many) Ma, Yonglin Huang	Disclosure		

NFI0168	Optical Polarization Beam Combiner and Isolator Array Polarization Beam Combiner and Isolator	Qi (Brian) Deng, Xiwen Wang, Bing Zheng, Liren Du, Shuangqiang (Mary) Ma, Yanglin Huang	Disclosure
NFI0169	Collimator with Ball-Joint for Better Optical Alignment and Bonding	Qi (Brian) Deng	Disclosure